Ongoing Authorization

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Agenda

➢ Background and History

➢ Ongoing Authorization Current State Analysis and Observations

➢ DHS Perspective

➢ Path Forward

Background and History

- **Revised OMB Circular A-130 released July 27, 2016:**

  - "*Agencies shall*… *Transition information systems and common controls to an ongoing authorization process* when eligible for such a process and with the formal approval of the respective authorizing officials"

- **Implementing ongoing authorization continued to be a challenge for agencies**

- **Ongoing Authorization Current State Analysis completed in June 2018**

Ongoing Authorization & ATO Over Time All Reporting Agencies
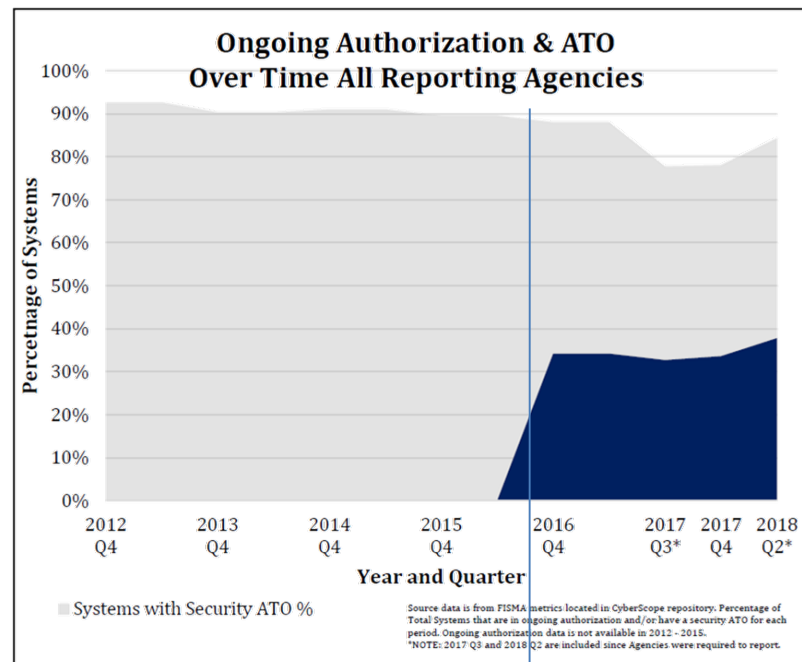
Revised OMB Circular A-130 Announced July 27, 2016

Current State Analysis - Observations and Findings

➢ Agencies interpret ongoing authorization differently due to varied and diverse reasons.

➢ Few mature policies, practices, and approaches exist for agencies to draw on for implementing ongoing authorization. For example:

   ▪ Agencies lack guidance on how to establish security controls and monitoring frequency in ongoing authorization.

   ▪ Agencies lack understanding regarding how automated tools will support ongoing authorization.

➢ Governance structures required to implement ongoing authorization do not exist in many organizations.

   ▪ Significant inconsistency in role of the Authorizing Official (AO) in ongoing authorization practices.

➢ The maturity of privacy continuous monitoring lags significantly behind that of security programs.

➢ Agencies want to ensure that Auditors/Inspectors General evaluation criteria are harmonized with ongoing authorization mission, guidance, and practices.

Perspective and path forward

➢ **Practical Guide to Ongoing Authorization**

- Provides a To-Be State for Ongoing Authorization

- Being developed through collaborative process with federal agencies within the Risk Insights and Governance Group

- Aligns and complements NIST RMF guidance

- Provides detail, planning considerations and examples tailored for Federal civilian agencies

➢ **Continuous Diagnostics and Mitigation (CDM) Program Ongoing Authorization RFS will:**

- Provide tools and capabilities to support Ongoing Authorization

- Leverage ongoing assessment capabilities

- Be developed in Spring 2019

Contact Information

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OAWG Member Departments and Agencies

22 Federal civilian agencies (CFO and non-CFO Act) participated in the Ongoing Authorization Working Group (OAWG)

- Commodity Futures Trading Commission
- U.S. Department of Agriculture
- U.S. Department of Commerce
- U.S. Department of Energy
- U.S. Department of Health and Human Services
- U.S. Department of Homeland Security
- U.S. Department of the Interior
- U.S. Department of Justice
- U.S. Department of State
- U.S. Department of the Treasury
- General Services Administration
- Federal Trade Commission

- Millennium Challenge Corporation
- National Aeronautics and Space Administration
- National Archives and Records Administration
- National Credit Union Administration
- U.S. Office of Special Counsel
- Pension Benefit Guaranty Corporation
- U.S. Postal Service
- Small Business Administration
- U.S. Securities and Exchange Commission
- Tennessee Valley Authority